DEPARTMENT OF THE NAVY (DON) INTERIM PERFORMANCE APPRAISAL FORM

SECTION 1 - PERFORMANCE PLAN

PART A - ADMINISTRATIVE DATA

1. APPRAISAL PERIOD: **a. START DATE:** 01 Oct 2016   **b. END DATE:** 31 Mar 2017

2. EMPLOYEE NAME (Last, First, Middle Initial):

PATTERSON, ROBIN, W

3. EMPLOYEE ID:

(b) (6)

4. POSITION TITLE:

SUPV MANAGEMENT ANALYST

5. GENERAL SCHEDULE (GS) GRADE AND STEP:

GS-15/05/0343

6. ORGANIZATION: 47039 CNO OP-09B2

PART B - PERFORMANCE PLAN DOCUMENTATION

1. POSITION DESCRIPTION CERTIFICATION
(to be completed by Rating Official)

[X] **I certify that the employee's position description (PD) is current and accurate**

2. PLAN DOCUMENTATION

The following signature blocks document the required steps in the appraisal process. The Performance Plan column must be filled in upon initial development of the performance plan. Should any changes to the plan be made during the appraisal period, the Adjusted Elements column(s) on Page 2 will be filled in to reflect the information at the time of the change. The Progress Review column must be filled in upon completion of the required Progress Review. The Annual Assessment column must be filled in upon completion of the required Annual Assessment at the end of the appraisal period. Should a Close-out Assessment be required, the Close-out Assessment column(s) on Page 2 will be filled in to reflect the information at the time of the Close-out Assessment.

Once Senior Rating Official approves each part, fields in the part will be locked for further editing.

	PERFORMANCE PLAN	PROGRESS REVIEW	ANNUAL ASSESSMENT
MEANS OF DELIVERY:	Face-to-Face	Face-to-Face	Face-to-Face
RATING OFFICIAL NAME, TITLE, ORGANIZATION:	JASON SALINAS ADMIN/DNS-3 DEP DIR MGMT DIV DNS-3		
RATING OFFICIAL SIGNATURE:	SALINAS JASON ALEXANDER (b) (6) CN=SALINAS JASON ALEXANDER (b) (6) ,OU=USN,OU=PKI,OU=DoD,O=U S Government C=US 2017 02 07 11 02:21 -08 00		
RATING OFFICIAL SIGNATURE DATE:	07-Feb-2017		
SENIOR RATING OFFICIAL NAME, TITLE, ORGANIZATION:	JOHN SEARS SUPV MGMT ANLST DNS-3		
SENIOR RATING OFFICIAL SIGNATURE:	SEARS JOHN ANDREW III (b) (6) CN=SEARS JOHN ANDREW III (b) (6) ,OU=USN,OU=PKI,OU=DoD,O=U S Government,C=US 2017 03 17 05:03:19 -07:00		
SENIOR RATING OFFICIAL SIGNATURE DATE:	17-Mar-2017		
Employee Signature Implies Acknowledgement And Does Not Constitute Agreement With Content			
EMPLOYEE SIGNATURE:	PATTERSON ROBIN W (b) (6) CN=PATTERSON ROBIN W (b) (6) ,OU=USN,OU=PKI,OU=DoD,O=U S Government,C=US 2017 03 22 05 03:48 -07:00		
EMPLOYEE SIGNATURE DATE:	22-Mar-2017		

	CLOSE OUT ASSESSMENT 1	CLOSE OUT ASSESSMENT 2	CLOSE OUT ASSESSMENT 3	ADJUSTED ELEMENTS 1	ADJUSTED ELEMENTS 2	ADJUSTED ELEMENTS 3
MEANS OF DELIVERY:	Face-to-Face	Face-to-Face	Face-to-Face	Face-to-Face	Face-to-Face	Face-to-Face
RATING OFFICIAL NAME, TITLE, ORGANIZATION:						
RATING OFFICIAL SIGNATURE:						
RATING OFFICIAL SIGNATURE DATE:						
SENIOR RATING OFFICIAL NAME, TITLE, ORGANIZATION:						
SENIOR RATING OFFICIAL SIGNATURE:						
SENIOR RATING OFFICIAL SIGNATURE DATE:						
Employee Signature Implies Acknowledgement And Does Not Constitute Agreement With Content						
EMPLOYEE SIGNATURE:						
EMPLOYEE SIGNATURE DATE:						

PART C - COMMAND USE

PART D - CRITICAL ELEMENT PERFORMANCE STANDARDS

A critical element performance standard is a general description of a level, requirement, or expectation of employee performance that must be met to be appraised at a particular level of performance. Performance standards are contained in Appendix C of the document Interim Performance Management System Covering Positions Transitioning to the General Schedule from NSPS and are defined by career stage - entry, journey, and expert. A single career stage will be used for all critical elements. The supervisory performance standard is used only for supervisory critical elements. Select the appropriate career stage below.

☐ Entry   ☐ Journey   ☒ Expert   Supervisor: Yes ☒   No ☐

Career Stage: Expert
Element Level: Acceptable
• Delivered on each critical element with broad and significant impact that was in alignment with the mission and objectives of the organization as well as applicable authorities, standards, policies, procedures and guidelines anticipating and
• overcoming significant obstacles.
• Established priorities and coordinated work across projects, programs or people, balancing work demands and anticipating and overcoming obstacles to achieve a timely and positive outcome.
• Demonstrated high standards of professional conduct and represented the organization or work unit effectively.

Career Stage: Expert
Element Level: Unacceptable
• Failed to achieve all or part of the stated critical element; or
• Failed in the accomplishment of priorities and coordination of work across projects, programs or people; consistently failed to balance work demands resulting in an untimely and unproductive product or event; or
• Demonstrated poor cooperation or inability to work with others.

Career Stage: Supervisory
Element Level: Acceptable
• Achieved expected results by effectively carrying out established supervisory responsibilities.
• Demonstrated adequate EEO and Affirmative Action awareness in areas of supervision and leadership.
• Supported use of Alternative Dispute Resolution to resolve conduct and performance concerns at the lowest level and early timeframe to ensure the workplace provided a harmonious climate.
• Instituted measures to foster productivity and safety.
• Provided timely performance feedback at a minimum of two times during the performance cycle; took appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.

Career Stage: Supervisory
Element Level: Unacceptable
• Failed in the accomplishment of priorities and coordination across projects, programs, and people; consistently failed to balance work demands of employees resulting in untimely or unproductive products or events; or
• Failed to demonstrate adequate EEO and Affirmative Action awareness in areas of supervision and leadership; or
• Failed to support the use of Alternative Dispute Resolution to resolve conduct and performance concerns to ensure the workplace provides a harmonious climate; or
• Failed to provide timely performance feedback as required during the rating cycle or to take appropriate corrective action to address instances of inappropriate conduct and/or unacceptable performance.

PART E - CRITICAL ELEMENTS

Critical elements are work assignments, goals, objectives, or responsbilities of such importance that unacceptable performance on the element would result in a determination that an employee's overall performance is unacceptable. A critical element must be sufficiently specific in nature so as to be understandable by the employee and assessable by a rating official, be comprehensive enough to span the entire rating period or a substantial portion thereof, and must be commensurate with the employee's grade, experience, and position requirements. A performance plan must have a minimum of two, but generally between three and five critical elements, that address individual expectations and goals.

CRITICAL ELEMENT 1	TITLE: Leadership Civilian Resource Managment

Achieve results by effectively carrying out established supervisory responsibilities. Demonstrate adequate EEO and Affirmative Action awareness in areas of supervision and leadership. Provide timely performance feedback at appropriate times during the performance cycle. creating an environment that fosters innovation. Mentor junior staff and assist them in creating individual development plans, as needed. Develop greater possibilities to achieve work/life balance and a positive work environment.

CRITICAL ELEMENT 2	TITLE: Program Management

Effectively develop and champion innovative ideas to improve the organization and create an environment that fosters innovation. Identify and remove unnecessary bureaucratic barriers. Ensure the FOIA and Privacy Act programs are properly aligned within salient policies. Publish relevant and timely program guidance. Capitalize on opportunities to streamline programs. Leverage technology to the fullest extent possible. Devise and track metrics to provide insight into the health of the programs. Use data to make decisions on cost, schedule and performance issues. Properly align resources to achieve program goals. Develop a plan of execution that supports the requirements to close the 10 oldest FOIA requests by next FY, notify leadership when specific resources are required to meet the DOJ goal.

CRITICAL ELEMENT 3	TITLE: Customer Support

Capitalize on opportunities to improve customer support. Advocate on behalf of customers in the field. Provide tools and training to allow customers to interface with DNS-3 programs in an efficient manner. Update content on the DON FOIA website www.foia.navy.mil ensuring compliance requirements are met.

CRITICAL ELEMENT 4	TITLE: Supervisor Critical Element for Managing/Handling Classified Information

Classified information, material and documents held by the command is safeguarded, protected, and maintained by the employee in accordance with established regulations, policies and in compliance with SECNAV 5510.36A. Required certification and trainings in the requirements for marking, handling, safeguarding and transmissions of classified information, is obtained and maintained up-to-date by the employee. Protected Information Distribution Networks and Security containers are properly identified utilizing SF700 series forms and following safety and security instructions and protocols. Established procedures for daily check of security containers and securing of areas designated for classified material processing are followed. Verify all new employees have undergone the proper personal investigation.

CRITICAL ELEMENT 5	TITLE:

PART E0 - ORIGINAL CRITICAL ELEMENTS

CRITICAL ELEMENT 1	TITLE: Leadership Civilian Resource Managment

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CRITICAL ELEMENT 5	TITLE:

PART E1 - ADJUSTED CRITICAL ELEMENTS

CRITICAL ELEMENT 1	TITLE:

CRITICAL ELEMENT 2	TITLE:

CRITICAL ELEMENT 3	TITLE:

CRITICAL ELEMENT 4	TITLE:

CRITICAL ELEMENT 5	TITLE:

PART E2 - ADJUSTED CRITICAL ELEMENTS

CRITICAL ELEMENT 1	TITLE:

CRITICAL ELEMENT 2	TITLE:

CRITICAL ELEMENT 3	TITLE:

CRITICAL ELEMENT 4	TITLE:

CRITICAL ELEMENT 5	TITLE:

PART E3 - ADJUSTED CRITICAL ELEMENTS

CRITICAL ELEMENT 1	TITLE:

CRITICAL ELEMENT 2	TITLE:

CRITICAL ELEMENT 3	TITLE:

CRITICAL ELEMENT 4	TITLE:

CRITICAL ELEMENT 5	TITLE:

PART F - PROGRESS REVIEW

At least one progress review will be completed for each employee during the appraisal period. At this time, the employee will be informed of how they are progressing with regard to their critical elements. Progress reviews do not require the assignment of a rating of record.

CRITICAL ELEMENT 1	TITLE: Leadership Civilian Resource Managment
CRITICAL ELEMENT 2	TITLE: Program Management
CRITICAL ELEMENT 3	TITLE: Customer Support
CRITICAL ELEMENT 4	TITLE: Supervisor Critical Element for Managing/Handling Classified Information
CRITICAL ELEMENT 5	TITLE:

EMPLOYEE SELF-ASSESSMENT

(b)(6)

RATING OFFICIAL ASSESSMENT

PART G1 - CLOSE-OUT ASSESSMENT

A close out assessment must be conducted when:

(a) An employee completes a detail or temporary promotion of 120 days or longer under established critical elements; or
(b) An employee changes positions, is promoted, or moves to a new agency/activity after being under established critical elements for a minimum of 90 days; or
(c) The first-level supervisor leaves the position after the employee is under established critical elements for a minimum of 90 days. In this situation, the employee may continue under the same performance plan unless changed by the new supervisor.

CRITICAL ELEMENT 1   TITLE: Leadership Civilian Resource Managment

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

PART G1 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 2   TITLE: Program Management

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G1 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 3   TITLE: Customer Support

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G1 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 4   TITLE: Supervisor Critical Element for Managing/Handling Classified Information

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G1 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 5   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G2 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 1   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

PART G2 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 2   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G2 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 3   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

CRITICAL ELEMENT 3   TITLE:

EMPLOYEE SELF-ASSESSMENT

PART G2 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 4   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G2 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 5   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

PART G2 - CLOSE-OUT ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G3 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 1   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G3 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 2   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G3 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 3   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G3 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 4   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART G3 - CLOSE-OUT ASSESSMENT

CRITICAL ELEMENT 5   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

PART G3 - CLOSE-OUT ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

PART H - ANNUAL ASSESSMENT

To receive a rating of record, an employee must have performed for a minimum period of 90 days under an approved performance plan in the same position. If necessary, an employee's rating period may be extended by the rating official with approval from the senior rating official beyond the end of the rating period to allow for the 90-day minimum to be met, as long as the extension does not interfere with the ability to manage any part of the rating and rewarding process for the employee's organization.

CRITICAL ELEMENT 1   TITLE: Leadership Civilian Resource Managment

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

PART H - ANNUAL ASSESSMENT

CRITICAL ELEMENT 2   TITLE: Program Management

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

CRITICAL ELEMENT 2   TITLE: Program Management

EMPLOYEE SELF-ASSESSMENT

PART H - ANNUAL ASSESSMENT

CRITICAL ELEMENT 3   TITLE: Customer Support

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

CRITICAL ELEMENT 3   TITLE: Customer Support

EMPLOYEE SELF-ASSESSMENT

PART H - ANNUAL ASSESSMENT

CRITICAL ELEMENT 4   TITLE: Supervisor Critical Element for Managing/Handling Classified Information

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

CRITICAL ELEMENT 4   TITLE: Supervisor Critical Element for Managing/Handling Classified Information

EMPLOYEE SELF-ASSESSMENT

CRITICAL ELEMENT 5   TITLE:

EMPLOYEE SELF-ASSESSMENT

RATING OFFICIAL ASSESSMENT

EMPLOYEE SELF-ASSESSMENT

SECTION 2 - RATING OF RECORD

PART I - ANNUAL PERFORMANCE RATING OF RECORD

CRITICAL ELEMENT	CRITICAL ELEMENT TITLE	INDIVIDUAL ELEMENT LEVEL
1	Leadership Civilian Resource Managment	
2	Program Management	
3	Customer Support	
4	Supervisor Critical Element for Managing/Handling Classified Information	
5		

RATING OF RECORD   (If any one critical element is assigned "Unacceptable," then input "Unacceptable." Otherwise, input "Acceptable.")

☐ Rating of Record based on Close-out Appraisal

PART J - COMMAND USE